



ALAMEDA COUNTY
CONGESTION MANAGEMENT AGENCY

1333 BROADWAY, SUITE 220 • OAKLAND, CA 94612 • PHONE: (510) 836-2560 • FAX: (510) 836-2185
E-MAIL: mail@accma.ca.gov • WEB SITE: accma.ca.gov

REQUEST FOR PROPOSALS
To Provide
Human Resource Services

(RFP A09-012)

Dear Consultants:

The Alameda County Congestion Management Agency (ACCMA) is issuing a Request for Proposals (RFP) for human resource services. A portion of the work performed under this contract will be for the Alameda County Transportation Improvement Authority (ACTIA) under a shared services arrangement with the ACCMA which is more fully described in the body of the RFP. The RFP is subject to ACCMA Small Business Enterprise (SBE), Local Business Enterprise (LBE) policy and ACTIA Very Small Local Business Enterprise (VSLBE) Preference Policy.

Any contract to be awarded as a result of this RFP will be awarded without discrimination based on race, color, religion, sex, sexual orientation, race, religious creed, color, national origin, ancestry, denial of family and medical care leave, medical condition (cancer/ genetic characteristics) physical handicap, disability (mental or physical) including HIV and AIDS, denial of pregnancy disability leave or reasonable accommodation, marital status, age (40 and above).

To obtain a full copy of the RFP, please contact ACCMA office at (510) 836-2560 or download the document in PDF format from our website: www.accma.ca.gov. All inquiries pertaining to this RFP should be emailed to Liz Brazil, Contract Administrator, at the following email address: lbrazil@accma.ca.gov no later than 3:00 p.m., September 4, 2009. Response to all questions submitted by the September 4, 2009, deadline that may have a material impact on the proposal will be provided to all attendees of the pre-submittal meeting on **September 9, 2009 at 10:00 am.** and will also be posted on the ACCMA website: www.accma.ca.gov. The subject line for questions submitted in writing should include reference to: *Questions - ACCMA RFP No. A09-012*

Seven (7) copies and one (1) electronic copy in PDF format of the proposal are due no later than 3:00 p.m. on Friday, September 18, 2009 at the offices of the Alameda County Congestion Management Agency, 1333 Broadway, Suite 220, Oakland, CA 94612. **Late submittals will not be accepted.** RFPs must be submitted in a sealed envelope marked:

"Human Resource Services – RFP A09-012"
Alameda County Congestion Management Agency
1333 Broadway, Suite 220
Oakland, CA 94612

We look forward to receiving a proposal from your firm.

Sincerely,

A handwritten signature in black ink, appearing to read "Liz Brazil", is written over a horizontal line.

Liz Brazil
Contracts Administrator

**REQUEST FOR PROPOSALS
to provide
Human Resource Consulting Services**

RFP A09-012

Issued by:

Alameda County Congestion Management Agency

August 21, 2009

RESPONSES DUE:

3:00 PM (PST) September 18, 2009

at the

**Alameda County Congestion Management Agency
1333 Broadway, Suite 220
Oakland, CA 94612**

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KEY RFP DATES*

Issue Date	August 21, 2009
Deadline for Submitting Questions	September 4, 2009
Pre-Submittal Meeting	September 9, 2009
Deadline for Proposal Submittal	September 18, 2009
Interviews	September 29, 2009

*See Section IV for more information on proposal selection and process dates

REQUEST FOR PROPOSALS

to provide

Human Resource Services

(RFP A09-012)

INTRODUCTION

The Alameda County Congestion Management Agency (ACCMA or Agency) was created in 1991 by a joint powers agreement between Alameda County and all its cities. ACCMA's goals, duties and composition enable local governments to better address the complex problem of traffic congestion. The Agency is responsible for planning, programming, and coordinating Federal, State, and Regional funds for transportation projects within Alameda County.

In February 2007, the ACCMA Board was presented with a Strategic Staffing & Organizational Assessment in response to the passage of the Infrastructure Bond Act in November, 2006. In March, the Board authorized 28 full time positions to carry out the increased program and project requirements of the new legislation. This represented a 33 percent increase in authorized positions. As a consequence, the human resource requirements of the Agency have grown to the extent that outside consulting assistance is required to ensure that the requirements are adequately addressed.

The Agency believes its human resource (HR) requirements can best be met through the retention of an HR specialist firm rather than hiring full-time HR staff.

The Agency and the Alameda County Transportation Improvement Authority (ACTIA) are exploring avenues in which the two agencies can share services and implement cost-saving techniques. One area that has been identified for shared services is in the area of HR services since neither Agency is large enough to justify full-time dedicated HR staff. Therefore, the two agencies, which are co-located at 1333 Broadway on adjacent floors, are looking to share the services provided under this procurement. However, the resultant consultant contract will be with the ACCMA and cost sharing arrangements will be implemented on a pro-rata basis through a separate agreement between the two agencies.

The ACCMA currently has 25 full-time and one part-time staff members. ACTIA has nine full-time staff.

I. INSTRUCTIONS TO CONSULTANTS

A. Pre-Submittal Conference

A pre-submittal conference will be held on September 9, 2009 at 10:00 AM at the ACCMA offices located at 1333 Broadway, Suite 220, Oakland, CA 94612. All prospective consultants are strongly encouraged to attend.

B. Examination of Proposal Documents

By submitting a proposal, the consultant represents that it has thoroughly examined and become familiar with the work required under this RFP, and that it is capable of performing the work identified in **Attachment A**, Scope of Work.

C. Addenda/Clarifications

Explanations or clarifications desired by respondents regarding the meaning or interpretation of the RFP may be requested verbally at the pre-submittal meeting or in advance of the meeting in writing. While this meeting is not mandatory, all firms intending to propose are strongly encouraged to attend. All inquiries pertaining to this RFP should be emailed to Liz Brazil, Contract Administrator, at the following email address: lbrazil@accma.ca.gov no later than 3:00 p.m., September 4, 2009. Response to all questions submitted by the September 4, 2009, deadline that may have a material impact on the proposal will be provided to all attendees of the pre-submittal meeting discussed above, and will also be posted on the ACCMA website: www.accma.ca.gov. The subject line for questions submitted in writing should include reference to: *Questions - ACCMA RFP No. A09-012*.

D. Submission of Proposals

All proposal submittals shall be transmitted with a cover letter. *The person authorized by the firm/team to negotiate a contract with ACCMA shall sign the cover letter and the letter shall include the name, title, address, email address and the telephone number of the individual to whom correspondence and other contacts should be directed during the consultant selection process. Address the cover letter as follows:*

G. Richard Swanson, Director of Finance and Administration
Alameda County Congestion Management Agency
1333 Broadway, Suite 220
Oakland CA 94612

The consultant shall submit seven (7) hard copies and one (1) electronic CD copy in pdf format of its statement of qualifications in a sealed envelope, addressed as noted above, bearing the consultant's name and address, and clearly marked as follows:

“Proposal Submittal -ACCMA RFP No. A09-012”

E. Withdrawal of Proposal Submittal

A Consultant may withdraw its proposal at any time before the expiration of the time for submission of proposal submittals as provided in this RFP by delivering to the Contracts Administrator a written request for withdrawal signed by, or on behalf of, the Consultant.

F. Rights of ACCMA

This RFP does not commit ACCMA to enter into a contract, nor does it obligate ACCMA to pay for any costs incurred in preparation and submission of the proposal or in anticipation of a contract.

ACCMA may investigate the qualifications of any Consultant under consideration, require confirmation of information furnished by the Consultant, and require additional evidence or qualifications to perform the Services described in this RFP.

ACCMA reserves the right to:

1. Reject any or all proposal submittals
2. Issue one or more subsequent RFQs and/or RFPs
3. Postpone opening for its own convenience
4. Remedy technical errors in the RFP process
5. Approve or disapprove the use of particular subconsultants
6. Negotiate with any, all, or none of the Consultants responding to this RFP
7. Award a contract to one or more Consultants
8. Waive informalities and irregularities in any proposal

G. Contract Type

Consultants shall be prepared to accept the terms and conditions of ACCMA's standard form contract included as **Attachment B** (Sample ACCMA Contract) hereto. If a Consultant desires to take exception to the Agreement, the Consultant shall provide the following information as a section of the Proposal identified as "Exceptions to the Agreement":

1. Consultant shall clearly identify each proposed change to the Agreement, including all relevant Exhibits and Attachments.
2. Consultant shall furnish the reasons therefore as well as specific recommendations for alternative language.

The above factors will be taken into account during contract negotiations. Substantial exceptions to the Agreement may be determined by the Agency, at its sole discretion, to be unacceptable and the Agency will proceed with negotiations with the next highest ranked firm. See Section VI Award.

II. SCOPE OF WORK

The work to be performed under contract based on this RFP is described in the Scope of Work attached hereto as **Attachment A** and hereby incorporated herein.

This solicitation is intended to provide ACCMA and ACTIA with a full range of HR services. Both agencies may require assistance in the areas of HR administration, policy and procedures development and review, benefit assistance, training, recruiting, and other HR related services as needs arise.

III. REQUIRED QUALIFICATIONS

The ACCMA seeks a motivated, skilled and enthusiastic professional team to be accountable and deliver innovative, high quality services that are supportive of a broad range of Human Resources services. The Consultant team may consist of one or more firms; if there is more than one firm, the proposal should clearly state the relationship between the firms and who will lead the team. Consultants responding to this RFP will be expected to demonstrate that one or more team members have substantive practical experience and expertise in the following areas:

1. Minimum five years recent experience in the areas discussed under Scope of Work, (see Attachment A) such as administering California Labor Law with specific experience with administration of the Family and Medical Leave Act and California Family Rights Act. Please provide brief resume showing work history and similar or

relevant assignments completed by each proposed consultant team member.

2. Minimum five years experience in government agency human resources policies, administration, performance evaluation, compensation and related fields. Please provide specific California government agency projects that your firm and staff have delivered in the past five years.
3. Hands-on experience in organizing educational programs, staff development seminars and coaching process. Itemize and briefly describe educational/staff development projects completed by your team over the past five years.
4. Experience with the HR aspects of consolidation or sharing of services between agencies.

Please provide specific reference information on each of the areas listed above. The consultant will work under the direction of the Director of Finance and Administration for ACCMA and the Manager of Finance and Administration for ACTIA staff, as appropriate.

List of Potential HR Consultant Work Disciplines:

- Employee Orientation and New Hire Paperwork
- Employee Personnel File Organization and Content
- Benefits Administration
- OSHA Compliance and Advice
- FMLA and CFRA Administration
- Employee Handbooks and Job Descriptions
- Conflict Resolution
- Management/Employee Training Sessions
- Recruiting and Termination Services
- Severance Assistance
- Time and Attendance Reporting and Administration
- Workers Compensation and Injury and Illness Prevention Programs

IV. PROPOSAL SELECTION AND PROCESS DATES:

September 4, 2009: All questions pertaining to this RFP should be emailed to Liz Brazil **no later than 5:00 p.m. Friday, September 4, 2009** at the following email address: **lbrazil@accma.ca.gov**. Responses to all material questions received by 5:00 p.m. on this date will be provided at the pre-submittal meeting.

September 9, 2009: A **Pre-submittal Meeting** will be held at 10:00 a.m. at the ACCMA offices on **Wednesday, September 9, 2009**.

September 18, 2009: **Proposals are due no later than 3:00 p.m. on Friday, September 18, 2009** at the offices of the Alameda County Congestion Management Agency at 1333 Broadway, Suite 220, Oakland, CA 94612.

September 29, 2009: Interviews for consultant selection will be held on Tuesday, September 29, 2009, if necessary.

V. EVALUATION AND QUALIFICATION

A Consultant Selection Panel, which may be made up of staff from ACCMA, ACTIA and other outside agencies, will review the proposals submitted. They will then establish a short list of pre-qualified firms based on pre-established review criteria and interview the firms, if necessary. The names of the Consultant Selection Panel members will not be made public or otherwise revealed. The individual or composite rating and evaluation forms prepared by Consultant Selection Panel members will not be revealed.

The product of the selection process will be to award a contract with the top ranked firm, as recommended by the Consultant Selection Panel. The following criteria and point system will be used to evaluate the RFP:

1. Qualifications of the Firm: Technical experience in performing work related to human resource of key team members; experience working with public agencies; record of completing work on schedule; strength and stability of the firm; technical experience and strength and stability of proposed subconsultants; and assessments by client references. (35 points)
2. Demonstrated understanding of the human resource and potential problem areas: Project approach, work plan, quality assurance program, understanding of ACCMA and ACTIA and experience with similar projects related to human resource. (30 points)
3. Staffing and Project Organization: Qualifications of project staff, particularly key personnel, especially the project manager, key personnel's level of involvement in performing related work. (20 points).
4. Qualify as the ACCMA Local Business Enterprise (LBE 70% goal). (5 points)
5. Qualify as the ACCMA Small Business Enterprise (SBE 15% goal). (5 points)
6. Qualify as the ACTIA Very Small Local Business Enterprise (VLSBE).(5 points)

VI. AWARD

The Consultant Selection Panel will review and evaluate the proposals based on the firm's prior experience, understanding of the services required, qualification of proposed staff, and the ability to meet the staffing requirements. Each of the firms will be ranked by the Panel members based on the criteria listed in Section V. The ACCMA will enter into negotiations with the highest ranked firm. If negotiations with this firm are ultimately unsuccessful, or if the firm declines the work offered, then negotiations will proceed with the second highest ranked firm from the proposal list, and so forth until a firm is selected. In the event of a tie, cost proposals will be opened and the lowest bid will be awarded the contract.

VII. NON-DISCRIMINATION

Consultants shall not unlawfully discriminate, harass or allow harassment, against any employee or applicant for employment because of sex, sexual orientation, race, religious creed, color, national origin, ancestry, denial of family and medical care leave, medical condition (cancer/genetic characteristics) physical handicap, disability (mental or physical) including HIV and AIDS, denial of pregnancy disability leave or reasonable accommodation, marital status, age (40 and above), in the performance of ACCMA or ACTIA contracts. Consultants and any subcontractors shall ensure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment.

Consultants shall include the non-discrimination and compliance provisions of the above clause in all subcontracts to perform work under this contract.

VIII. LEVINE ACT

Consultants will be required to disclose on the record any contribution of more than \$250 which they have made to an ACCMA or ACTIA Board Member within the twelve-month period preceding the submittal deadline of this RFP, and within the twelve-month period preceding any subsequent procurement based on this RFP. This applies to your company, any member of your team, any agents for you or other team members and to the major shareholders of any closed corporation, which is part of your team. If you have made a contribution which needs to be disclosed you must provide written notice of the date, amount and receipt of the contribution(s) to ACCMA Executive Director, Dennis Fay and/or ACTIA Executive Director, Christine Monsen. This information will need to be provided before the ACCMA can approve any contract.

IX. ACCMA SBE AND LBE POLICY

ACCMA has adopted a Small Business Enterprise (SBE) Policy, pursuant to which the ACCMA encourages all prime consultants to utilize qualified SBE subconsultants on ACCMA projects, ACCMA promotes the direct purchase of goods from qualified SBEs by utilizing SBE vendors when such vendors are available and the price of the goods sought is reasonable, and, for professional services contracts, ACCMA seeks the utilization of qualified SBEs when such SBEs are available. All prime consultants are required to report on SBE usage during the term of each contract, using a form provided by ACCMA.

For purposes of ACCMA's SBE Policy, an SBE shall be a "small business" within the meaning of 13 CFR Part 121 and California Government Code Section 14837. In the event that the ACCMA's SBE Policy conflicts with any Federal, State or other funding source's programs, policies, regulations or requirements, ACCMA shall make the SBE Policy consistent with said funding source's programs, policies, regulations and requirements to the extent permissible by law. ACCMA's SBE Policy is neutral as to race, ethnicity, national origin, age, sex, religion, sexual orientation and other protected classes.

ACCMA has also adopted a Local Business Enterprise (LBE) Policy, pursuant to which the ACCMA encourages all prime consultants to utilize qualified LBE subconsultants on ACCMA projects, ACCMA promotes the direct purchase of goods from qualified LBEs by utilizing LBE vendors when such vendors are available and the price of the goods sought is reasonable, and,

for professional services contracts, ACCMA seeks the utilization of qualified LBEs when such LBEs are available. All prime consultants are required to report on LBE usage during the term of each contract, using a form provided by ACCMA.

The ACCMA goals for professional services are 70% for LBE and 15% for SBE.

X. ACTIA VSLBE POLICY

The ACTIA Very Small Local Business Enterprise (VSLBE) Policy provides preference to VSLBEs on administrative contracts under \$50,000. A firm certified with ACTIA as a VSLBE will be given preference of five (5%) percent in scoring for proposals for this contract. Businesses interested in becoming certified as a VSLBE with ACTIA must submit the Common Application and Supplemental Form B (see **Attachment D**) to ACTIA's new certification consultant team, L. Luster & Associates. Applications and any questions should be directed to Marlene Rubain, ACTIA Certification Specialist, L. Luster & Associates, 1333 Broadway Suite 300, Oakland, CA 94612. Inquiries may be directed by email to certification@actia2022.com or by telephone to (510) 267-6122. PLEASE NOTE: The final date to submit completed certification applications along with the required supporting documents in order to meet an RFP deadline is **three** working days prior to the proposal submission deadline. To meet the applicable **LBE/ SLBE/ VSLBE goals, the business must be certified prior to the date bids or proposals are due, and the certification letter must be provided as part of the proposal.** The certification application can be downloaded at www.actia2022.com.

XI. INDEMNIFICATION AND INSURANCE REQUIREMENTS

Insurance requirements for this project are set forth in **Attachment B**, Sample ACCMA Agreement for Services, ARTICLE 1 F – Indemnification and G - Insurance.

XII. FORMAT AND CONTENT

A. Format

1. Technical Proposal

Technical Proposals shall be printed, bound, and be: 1) as brief as possible, and 2) not include any irrelevant promotional material. Seven (7) hard copies and one (1) electronic CD copy in pdf format of your RFP submittal are due at the ACCMA offices no later than the time and date specified in Section I. INSTRUCTIONS TO CONSULTANTS.

The Technical Proposal shall not exceed a total of the equivalent of twenty (20) single sided pages. RFP submittals must consist of letter-sized (8.5" x 11") pages, with the exception of no more than three tabloid-sized (11" x 17") pages. General Information Form, transmittal letter and resumes are excluded from the total page count. Resumes should be limited to no more than two (2) pages in length. Each tabloid-sized page is considered one page for the total page count. Loose-leaf or binder-clipped RFP submittals will not be accepted. Font size shall be at least 12 point.

The nature and form of response of the Technical Proposal submittal is at the discretion of those responding, but shall include, at a minimum, the information listed in Section B below.

2. Cost Proposal

A Cost Proposal should be submitted in a **separate sealed envelope titled “RFP A09-012 – Human Resource Services Cost Proposal.”** The Cost Proposal should indicate the proposed hourly billing rates for each member of the consultant team being proposed. The hourly billing rate must include: salary, benefits, firm overhead charge, any administrative expense or fee and profit.

B. Content

- B.1. General Information: Complete the attached General Information Form (**Attachment C**), and place in the front of the Technical Proposal.
- B.2. Transmittal Letter: As discussed under Section I.D above, the RFP shall be transmitted with a cover letter expressing interest and commitment to work on this engagement. The letter shall specify the consultant work disciplines included in the RFP and state that the staff proposed are available to begin work on this contract. The person authorized by the firm/team to negotiate the contract with ACCMA shall sign the cover letter and the letter shall include the name, title, address and the telephone number of the individual to whom correspondence and other contacts should be directed during the consultant selection process.
- B.3. Qualifications of the Firm: This section shall include a brief description of the consultant's qualifications and previous experience on similar or related engagements. Description of pertinent project experience shall include a summary of the work performed, the total project cost, the period over which the work was completed, and the name, title, and phone number of clients to be contacted for references. Give a brief statement of the firm's adherence to the schedule and budget for each project.
- B.4. Demonstrated understanding of human resource and potential problem areas: Project approach, work plan, quality assurance program, understanding of ACCMA and ACTIA and experience with similar project related to human resource.
- B.5. Staffing and Project Organization: Discuss qualifications of Project Team Members (include resume, license, certification, etc.). This section shall discuss the key personnel and their experience in human resource consulting and advising. Project team members shall be identified by name, location, specific responsibilities on the project. An organizational chart for the project team and bios for key consultant personnel shall be included. Key consultant personnel will be an important factor considered by the Consultant Selection Panel. This section shall include resumes for all Consultant personnel.
- B.6. All work performed by Local Business Enterprise/Small Local Business Enterprise/Very Small Local Business Enterprise (LBE/SBE/VSLBE) Firms should be clearly identified and the percentage of their involvement noted. (See **Attachment C** – General Information Form).
- B.7. Exceptions to the Agreement: This section shall include any exceptions the consultant has taken to **Attachment B** - ACCMA Sample Contract.

ATTACHMENT A

SCOPE OF WORK

On behalf of both the ACCMA and ACTIA, the Agency is seeking expertise to provide a variety of human resource (HR) services. A sample of the range of services that may be required include, but shall not be limited to, the following: HR administration, policy and procedures development and review, benefit administration assistance, training and recruiting.

1. Policy and Procedure Review, Evaluation, Standardization and Consolidation

- a. Review and evaluate the current policies and procedures being used by both ACCMA and ACTIA for administering HR activities; identify any need for updates and changes required by State and Federal mandates and to reflect “best practices” on the part of both agencies. Recommend areas in which the policies and practices can be standardized and consolidated.
- b. Review and provide recommendations regarding the ACCMA and ACTIA employee evaluation process, procedures and forms.

2. Human Resource Administration

- a. Assist staff in administering State and Federal employment law including CFRA, FMLA, ADA, EEOC; wage and hour issues for exempt and non-exempt personnel, etc.
- b. Review and evaluate each agencies personnel files and records and report findings and recommendations.
- c. Review and update human resource forms for each agency. Include recommendation of changes to current forms or provide customized forms ready for print to include but not limited to: application, evaluation forms, offer letter, position requisition, reference form, personnel action form and new hire form.
- d. Provide assistance as needed in employee/employer dispute resolution processes, such as review of disciplinary procedures, mediation, termination process, etc.
- e. Provide assistance and recommendations upon request with regard to the Agency organization, position descriptions, job classifications, and employee compensation.

3. Employee Benefit Assistance

- a. Review organization’s maximum monthly contribution to employee’s benefits and provide recommendations, as appropriate for modifications or restrictions.
- b. Review and recommend changes to the Employee Handbook regarding benefits, as needed.
- c. Assist new/current employees with benefits set-up/change by directing them to where they can locate information or assisting them with benefit procedure forms.

4. Employee Training

- a. Identify opportunities and or needs for supervisor and management training.
- b. Assist in developing and maintaining a system for tracking employee training.
- c. Provide assistance in establishing and maintaining a program for obtaining and tracking continuing education credits for staff professionals.

5. Other On-Call Services such as:

- a. Availability for meetings and presentations to the ACCMA’s and ACTIA’s Committee and Board members.

OTHER CONSIDERATIONS

1. The consultant will be available by phone or in person to the designated ACCMA or ACTIA staff throughout the contract period.
2. Unless otherwise required by law or made public by the ACCMA, all discussions with ACCMA or ACTIA staff shall be kept confidential. In addition all documents, computer files and all other data compiled by or received by the consultant under this contract shall be treated by the consultant as confidential and shall be delivered only to authorized staff as required in the contract. Their contents shall not be made known by the consultant to any person other than personnel of the Consultant performing services under this contract without written consent of the ACCMA or ACTIA. The consultant shall direct any request for documents, data or other records to the ACCMA Director of Finance and Administration.

ATTACHMENT B
ACCMA Sample Contract

ATTACHMENT C

GENERAL INFORMATION FORM

(To be completed by the Consultant and placed at the front of your RFP)

Legal Name of Firm

Date

Street Address

Telephone Number

City/State/Zip

Firm's Fax Number

ACCMA SBE ☐ ACCMA LBE ☐ ACTIA VSLBE ☐ DBE ☐ UDEB ☐ None ☐

Type of Organization

(Corporation, Sole Proprietorship, Partnership, etc.)

Business License (documented)

Taxpayer ID Number (Federal)

Name and Title of Project Manager

Name, Title, and Phone Number of Person Project Correspondence should be directed to:

Consultant Work Disciplines: Project Delivery Team ☐ Individual Firm ☐

Sub Consultant Information

Firm Name(s)

Address

Contact Name/Phone Number

Email

ACCMA SBE ☐ ACCMA LBE ☐ ACTIA VSLBE ☐ DBE ☐ UDEB ☐ None ☐

Signature, Name and Title of Person Signing

ATTACHMENT D

ACTIA COMMON APPLICATION AND SUPPLEMENTAL FORM B

East Bay Interagency Alliance (EBIA)

COMMON APPLICATION for LOCAL CERTIFICATION

Alameda County – Alameda County Transportation Improvement Authority – City of Oakland – Port of Oakland

Submittal Date: _____

Check Certifying Agency below and click link to download Supplemental:

- ☐ Alameda County – No supplemental required
- ☐ Alameda County Transportation Improvement Authority – Complete Supplemental B
- ☐ City of Oakland – Complete Supplemental C
- ☐ Port of Oakland – Complete Supplemental D
- ☐ All the above

The Common Application is a sharing of information between agencies and NOT a reciprocal certification.

1) Contact Information

Legal Name of Entity		Contact Person (Name & Title)	
Street Address of Entity (No P.O. Box)			
City		State	Zip Code
County			
Telephone ()	Fax # ()	Cell# ()	
Email Address		Web Site	

2) Company Profile

Primary Service undertaken/offered:		Specialty Service undertaken/offered:	
Date Entity was established (mm/dd/yr)	Does the entity have one or more additional offices outside the city of Oakland, CA? <input type="checkbox"/> Y <input type="checkbox"/> N If yes, list other location(s)	Date Oakland office was established (mm/dd/yr)	
Method of Acquisition <input type="checkbox"/> New <input type="checkbox"/> Merger or consolidation	<input type="checkbox"/> Purchased existing <input type="checkbox"/> Inherited	<input type="checkbox"/> Secured concession <input type="checkbox"/> Other (explain)	Federal ID Number:
Has this entity operated under a different name during the past five years? <input type="checkbox"/>			
Type of Firm <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Joint Venture <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Limited Liability Corporation <input type="checkbox"/> Publicly traded entity <input type="checkbox"/> Non-Profit or Church <input type="checkbox"/> Other _____		Ethnicity Group of owners(s) that own greater than 50% of the business. (for tracking purposes only) <input type="checkbox"/> African American <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific /Hawaiian <input type="checkbox"/> Multi ethnic ownership <input type="checkbox"/> Asian Indian <input type="checkbox"/> Multi ethnic minority ownership <input type="checkbox"/> Caucasian <input type="checkbox"/> Other _____ <input type="checkbox"/> Filipino Gender (for tracking purposes only) <input type="checkbox"/> Male <input type="checkbox"/> Female	
Gross Receipts for the last three recent fiscal years: Please attach copies of appropriate tax returns: (e.g. Form 990, Form 1040, Form 1120, etc)		Year Ended _____ Year Ended _____ Year Ended _____	Total Receipts \$ _____ Total Receipts \$ _____ Total Receipts \$ _____

2) Company Profile: (Continue)

Number of Employees at the local office Permanent Full time _____ Permanent Part time _____	Temporary Full Time _____ Temporary Part Time _____	Seasonal Full Time _____ Seasonal Part Time _____
TOTAL Number of Employees at all locations. Permanent Full time _____ Permanent Part time _____	Temporary Full Time _____ Temporary Part Time _____	Seasonal Full Time _____ Seasonal Part Time _____

3) Certifications:

Name of Issuing Authority	Type	Number	Expiration Date
City / County Business Tax Certificate			
Internal Revenue Service (required) – If your firm is a Non-Profit, submit the Letter of Determination of Not For Profit Status.			
State of CA /CUCP Certification for DBE/ACDBE firm			
State of CA /SBA Certification for Small firm			
Other Certification			
Other Certification			
Other Certification			

4) Professional Licenses, Permits and/or Certificates (e.g. contractor, architect, engineer, etc. – list all that apply - attach copies. List on a separate page if additional space is needed)

Name of Issuing Authority	Type	Number	Expiration Date
State of CA Contractor's License Board – Contractor's License:			
State of CA Professional Service License or Permit:			
State of CA Service Provider License or Permit:			
Other:			
Other:			

5) NAICS Codes: Please review the NAICS¹ listing of work codes and indicate below your areas of expertise ranked in order of importance (begin with primary and specialty areas as indicated in the Company Profile section) NAICS Codes can be found at: <http://www.naics.com/search.htm> & <http://www.census.gov/epcd/naics02/>. Add separate sheet for additional NAICS codes if needed.

NAICS Code	Description of Work

6) Additional Information:

Are you a Trucking Firm? ☐ Yes ☐ No Are you a Truck Broker? ☐ Yes ☐ No Both? ☐ Yes ☐ No
 A supplier? ☐ Yes ☐ No

7) When submitting this application to any of the checked Certification Taskforce members, I consent to the sharing of information contained herein and declare under penalty of perjury that all statements made in this Application are true and correct : ☐ Yes ☐ No

Signature _____

Date: _____

¹ North American Industry Classification System – www.naics.com



Supplemental



FACT SHEET

Certification Standards for Local Business Contract Equity Program

Business Classifications and Size Thresholds:

Local Business Enterprise (LBE)	Small Local Business Enterprise (SLBE)	Very Small Local Business Enterprise (VSLBE)
No Size Threshold	Professional Services: <ul style="list-style-type: none"> \$5 million in revenue averaged over most recent three year period Construction Companies <ul style="list-style-type: none"> \$10 million in revenue averaged over most recent three year period 	\$2 million in revenue averaged over most recent three year period

LBE/SLBE/VSLBE Certification Standards:

- The business must be located at a fixed commercial or residential address which constitutes a business location and where administrative, clerical, professional or productive work is being performed, relative to its contracts, and not a temporary or movable office, a post office box or a telephone answering service;
- A business which has an office outside of Alameda County in addition to an office within the County, must staff the Alameda County office with someone who is permanent, full-time, and in the employ of the business;
- The location of the business must have been within Alameda County for at least one (1) year prior to the award date;
- The business must have a valid business license or tax certificate from an Alameda County city or Alameda County dated at least one (1) year prior to the award date;
- The business must have proof of one or more past contracts citing the business address (such as contracts to perform work, to rent space or equipment, or for other business services);
- The business shall be considered *bona fide* if the owner(s) interests is real and continuing and not created merely for the purpose of meeting the objectives of the Authority's LBCE Program;
- The business may not act as a passive conduit without contributing an added value or actual portion of the work awarded.



Supplemental

Local Business Contract Equity Program Questionnaire

Please check one or more of the following certification types.

☐ Local Business Enterprise ☐ Small Local Business Enterprise ☐ Very Small Local Business Enterprise

Is certification related to an upcoming project? Yes ☐ No ☐

If yes, please supply project name and bid date: _____

In addition to the Common Certification Application submit the following documents:

1. Current Business license or current Business Tax Certificate
2. Lease or proof of ownership of real property for business location
3. A signed equipment rental/purchase agreement or a contract to provide goods or services reflecting the local business address
4. Proof of business income in the form of one of the following for the previous three years:

SLBE and VSLBE Applicants Must Submit One of the Corresponding Set of Documents

Sole Proprietorship	Partnership	Corporations
Federal Tax Form 1040, including Schedule C	Federal Tax Form 1065, including Schedule K	Financial statement for the corporation Federal Tax Form 1120S, including Schedule E Federal Tax Form 4562

AFFIDAVIT

I, the undersigned, upon oath do hereby declare that I have read this application and all the information submitted, including information separately attached, is true, correct and complete to the best of my knowledge and belief. I am an owner of:

Name of Business _____

for which this application is made. I authorize the Alameda County Transportation Improvement Authority to investigate records of this business as necessary for making a determination as to whether certification should be granted. I AGREE TO PROMPTLY NOTIFY THE ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY OF ALL CHANGES AFFECTING THE INFORMATION SUBMITTED ON OR WITH THIS APPLICATION. I understand that submission of untruthful or misleading answers or failure to notify the Authority promptly of changes in location of this business are grounds for denial of certification, or may result in de-certification.

To be signed by an owner and officer of the business:

Signature Title

Printed Name Date Signed

NOTARY ACKNOWLEDGEMENT

On this day of _____, 20____, before me appeared (applicant name) to me personally known or who has demonstrated adequate evidence of identification, who being duly sworn, did execute the foregoing affidavit, and did state that he/she was properly authorized by (name of business) to execute the affidavit and did so as his/her free act and deed.

Seal

B



Notary Public